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**PATENT**

Attorney Docket No. 8325-0002.21

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By: Diane Kizer  
Diane Kizer

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of CASE et al.

Serial No.: 09/942,087

Examiner: Unassigned

Confirmation No.:

Art Unit: 1631

Filed: August 28, 2001

For: MODULATION OF ENDOGENOUS GENE EXPRESSION IN CELLS

Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT TRANSMITTAL**

Enclosed is an Information Disclosure Statement and accompanying Form PTO/SB/08A for the above-identified patent application.

- ☒ In accordance with 37 C.F.R. §1.97(b), no additional fee for submission of the IDS is required.
- ☐ In accordance with 37 C.F.R. §1.97(c), also enclosed is:
  - ☐ the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p); or
  - ☐ a statement as specified in 37 C.F.R. §1.97(e).
- ☐ In accordance with 37 C.F.R. §1.97(d), a statement as specified in 37 C.F.R. § 1.97(e) and the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) are also enclosed.
- ☐ Check No. \_\_\_ in the amount of \$\_\_\_ for the total fee is attached.
- ☒ A return receipt postcard is also enclosed.

☐ Please charge \$\_\_\_ to Deposit Account No. 03-3117 for the total fee. This paper is being submitted in duplicate.

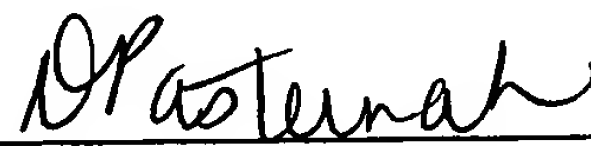
The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 03-3117.

Dated: 24 Feb 03

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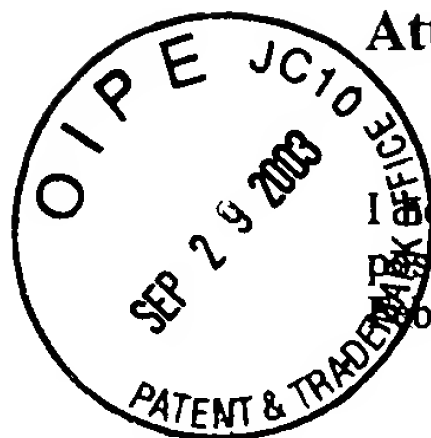
  
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**PATENT**

Attorney Docket No. 8325-0002.21

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By: Diane Kizer

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of CASE et al.

Serial No.: 09/942,087

Examiner: Unassigned

Confirmation No.: 7166

Art Unit: 1631

Filed: August 28, 2001

For: MODULATION OF ENDOGENOUS GENE EXPRESSION IN CELLS

Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §1.97(b)**

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56, Applicant(s) hereby submits the following information in conformance with 37 C.F.R. §§1.97 and 1.98.

- [x] Pursuant to 37 C.F.R. §1.98, a copy of each document cited in the attached Form PTO/SB/08 is enclosed.
- [x] Enclosed is a copy of a non-English publication (EP 875 567). English language publication (6,160,091) (copy enclosed) claims priority from the same PCT application as this non-English publication.
- [x] An explanation of non-English publication (WO 96/11267) for which an English translation is not available is as follows:

WO 96/11267 relates to a DNA sequence from the cervical carcinoma cell line E180 which encodes a zinc finger protein. WO 96/11267 discloses both the nucleic acid sequence and the encoded amino acid sequence of the zinc finger protein. Additionally, the reference relates to the use of the disclosed zinc finger protein in a diagnostic capacity. Specifically, the affinity of the disclosed zinc finger protein for a target DNA sequence is described. Applicants also direct the Examiner's attention to the English language abstract on the cover page of WO 96/11267.

- ☐ Enclosed is an English translation of non-English publication(s) \_\_\_ cited in the attached Form PTO/SB/08A.
- ☐ Enclosed is a copy of pending patent Application Serial No. \_\_\_.

This Information Disclosure Statement is filed within any one of the following time periods:

- ☐ within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);
- ☐ within three months from the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in this international application;
- ☒ before the mailing date of a first office action on the merits; or
- ☐ before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.

It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.

Dated: 24 Sep 03

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USSN 09/942,087

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## INFORMATION DISCLOSURE CITATION

PTO FORM 1449

Attorney Docket No.  
S2-US5  
(8325-0002.21)U.S. Serial No.  
09/942,087

Applicant: CASE et al.

Filing Date: August 28, 2001

Group Art Unit 1631

Examiner: Unassigned

## U.S. PATENTS

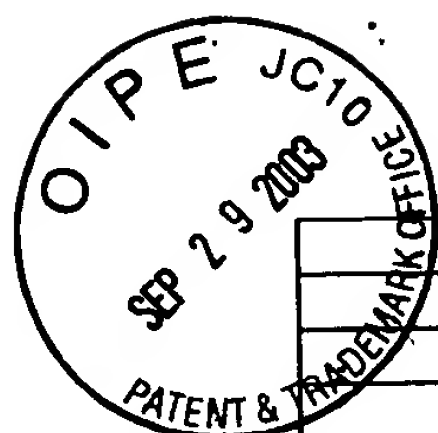
Ex'r Initials	Ref No.	Document No.	Date	Name	Class	Subclass	Filed
	A-1	4,990,607	February 5, 1991	Katagiri et al.			
	A-2	5,096,814	March 17, 1992	Aivasidis et al.			
	A-3	5,096,815	March 17, 1992	Ladner et al.			
	A-4	5,198,346	March 30, 1993	Ladner et al.			
	A-5	5,223,409	June 29, 1993	Ladner et al.			
	A-6	5,243,041	September 7, 1993	Fernandez-Pol			
	A-7	5,302,519	April 12, 1994	Blackwood et al.			
	A-8	5,324,638	June 28, 1994	Tao et al.			
	A-9	5,324,818	June 28, 1994	Nabel et al.			
	A-10	5,324,819	June 28, 1994	Oppermann et al.			
	A-11	5,340,739	August 23, 1994	Stevens et al.			
	A-12	5,348,864	September 20, 1994	Barbacid et al.			
	A-13	5,350,840	September 27, 1994	Call et al.			
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	A-15	5,376,530	December 27, 1994	De The et al.			
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	A-18	5,487,994	January 30, 1996	Chandrasegaran			
	A-19	5,498,530	March 12, 1996	Schatz et al.			
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	A-26	5,792,640	August 11, 1998	Chandrasegaran			
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	A-28	5,869,618	February 9, 1999	Lippman et al.			
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	A-34	6,001,885	December 14, 1999	Vega et al.			
	A-35	6,007,988	December 28, 1999	Choo et al.			
	A-36	6,013,453	January 11, 2000	Choo et al.			
	A-37	6,160,091	December 12, 2000	Peukart et al.			

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Ex'r Initials	Ref No.	Document No.	Published	Country	Class	Subclass	Translation	
							YES	NO
	B-1	WO 92/02536	February 20, 1992	PCT				
	B-2	WO 95/11922	May 4, 1995	PCT				
	B-3	WO 95/19431	July 20, 1995	PCT				
	B-4	WO 96/06110	February 29, 1996	PCT				

Examiner: \_\_\_\_\_ Date: \_\_\_\_\_

Please initial reference if considered, whether or not the citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



B-5	WO 96/06166	February 29, 1996	PCT					
B-6	WO 96/11267	April 18, 1996	PCT					
B-7	WO 96/20951	July 11, 1996	PCT					
B-8	WO 96/32475	October 17, 1996	PCT					
B-9	WO 97/27212	July 31, 1997	PCT					
B-10	WO 97/27213	July 31, 1997	PCT					
B-11	WO 98/53057	November 26, 1998	PCT					
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B-14	WO 98/53060	November 26, 1998	PCT					
B-15	WO 98/54311	December 3, 1998	PCT					
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B-17	WO 99/41371	August 19, 1999	PCT					
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B-20	WO 99/47656	September 23, 1999	PCT					
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B-23	WO 00/27878	May 18, 2000	PCT					
B-24	WO 00/41566	July 20, 2000	PCT					
B-25	WO 00/42219	July 20, 2000	PCT					
B-26	EP 0 875 567	April 8, 1998	EPO					

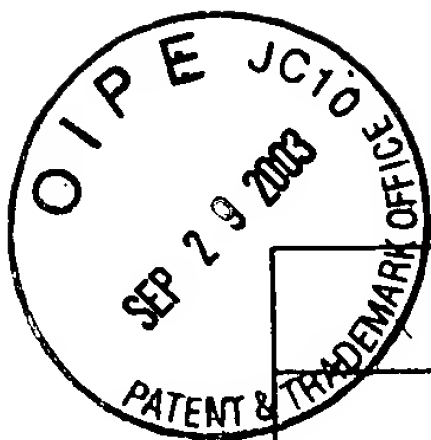
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	C-1	Agarwal et al., "Stimulation of Transcript Elongation Requires Both the Zinc Finger and RNA Polymerase II Binding Domains of Human TFIIIS," <i>Biochemistry</i> 30(31):7842-7851 (1991)
	C-2	Antao et al., "A Thermodynamic Study of Unusually Stable RNA and DNA Hairpins," <i>Nuc. Acids. Res.</i> 19(21):5901-5905 (1991)
	C-3	Barbas, C. F., "Recent Advances in Phage Display," <i>Curr. Opin. Biotech.</i> 4:526-530 (1993)
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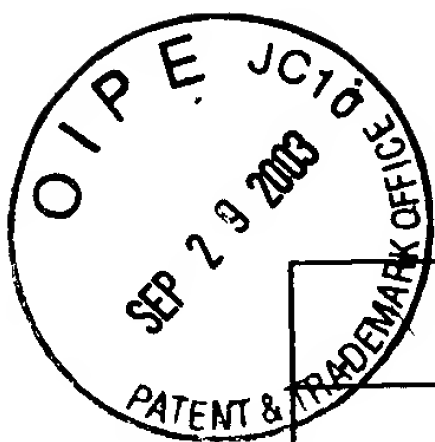




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C-25	Choo, Y., "End Effects in DNA Recognition Code," <i>Nuc. Acids. Res.</i> 26(2):554-557 (1998)
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C-28	Choo et al., "Selection of DNA Binding Sites for Zinc Fingers using Randomized DNAs reveals Coded Interactions," <i>Proc. Natl. Acad. Sci. U.S.A.</i> 91:11168-11172 (1994)
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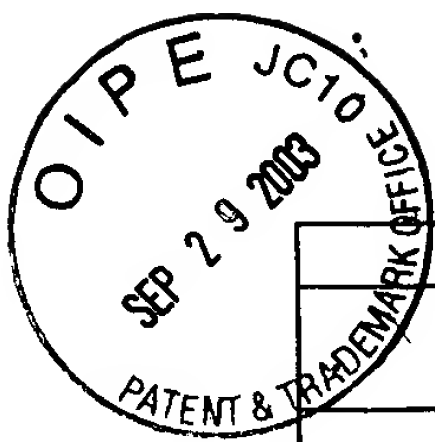


	C-40	Dibello et al., "The Drosophila <i>Broad</i> -Complex Encodes a Family of Related Proteins Containing Zinc Fingers," <i>Genetics</i> 129:385-397 (1991)
	C-41	Donze et al., "Activation of delta-globin gene expression by erythroid Kruppel-like factor: a potential approach for gene therapy of sickle cell disease," <i>Blood</i> 88:4051-4057 (1996)
	C-42	Elrod-Erickson et al., "High-Resolution Structures of Variant Zif268-DNA Complexes: Implications for Understanding Zinc Finger-DNA Recognition," <i>Structure</i> 6(4):451-464 (1998)
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	C-53	Hall et al., "Functional Interaction Between the Two Zinc Finger Domains of the V- <i>erbA</i> Oncoprotein," <i>Cell Growth &amp; Differentiation</i> 3:207-216 (1992)
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	C-62	Isalan et al., "Synergy Between Adjacent Zinc Fingers in Sequence-Specific DNA Recognition," <i>PNAS</i> 94(11):5617-5621 (1997)
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	C-64	Jacobs, G.H., "Determination of the Base Recognition Positions of Zinc Fingers From Sequence Analysis," <i>EMBO J.</i> 11(12):4507-4517 (1992)

Examiner: \_\_\_\_\_ Date: \_\_\_\_\_

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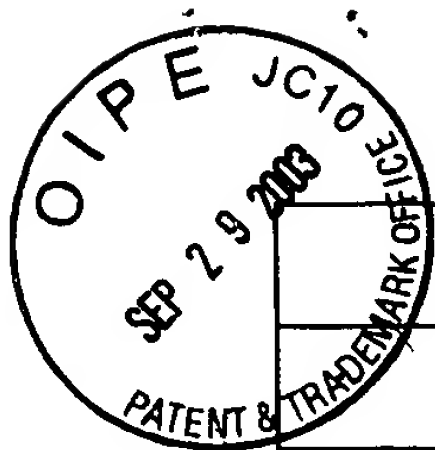




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C-69	Kamiuchi et al., "New Multi Zinc Finger Protein: Biosynthetic Design and Characteristics of DNA Recognition," <i>Nucleic Acids Symposium Series</i> 37:153-154 (1997)
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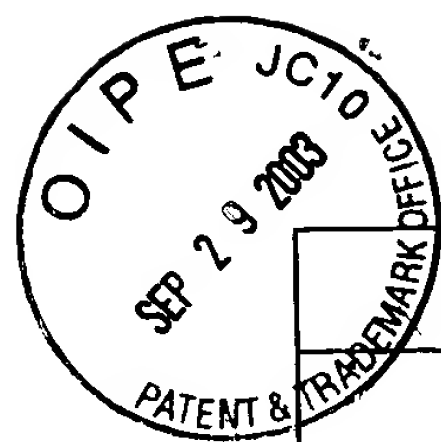
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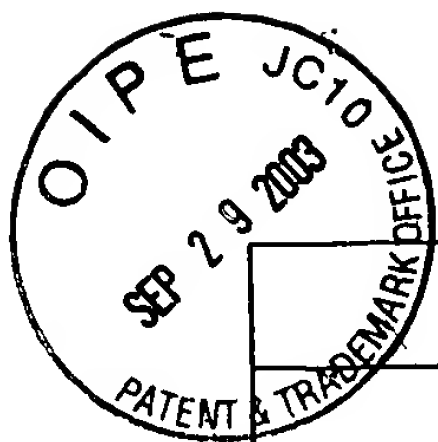


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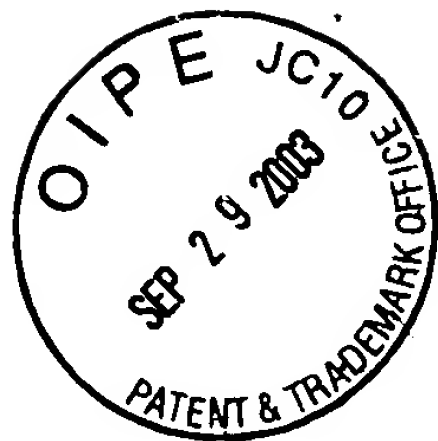




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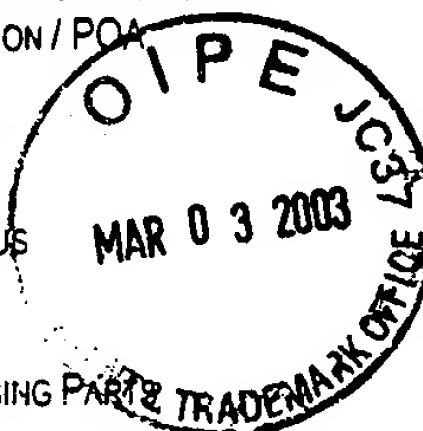
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